



Attorney Docket No. 51950 (ACT-163)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Steinberg et al.

U.S.S.N.: 09/987,766

Art Unit: 2874

FILED: November 15, 2001

Examiner: John D. Lee

FOR: OPTICAL ASSEMBLY FOR COUPLING WITH INTEGRATED OPTICAL
DEVICES AND METHOD FOR MAKING

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 7/6/2004.

By: Deanna M. Rivernider
Deanna M. Rivernider

**SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto.

In addition to the aforesaid references, Applicants wish to bring to the attention of the Examiner co-pending U.S. Application Serial No. 09/614,155, filed July 11, 2000 which application is assigned to the Assignee of the subject application. A copy of the application as filed is attached hereto. By citation of this co-pending application, secrecy thereof is not waived.

II. COPIES

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English abstract of foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☐ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☒ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. . § 1.17(p).
or
- b. ☐ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

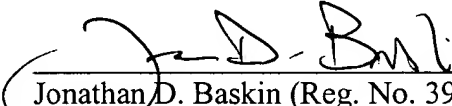
☒ Enclosed please find a check in the amount of \$ 180.00 for the above indicated fee.

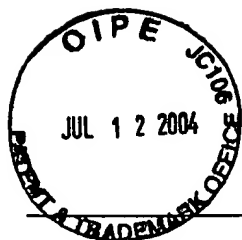
☐ Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.

☐ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,


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Sheet 1 of 1

LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

Atty Docket No. 51950 (ACT-163)	Serial No. 09/987,766
Applicant STEINBERG et al.	
Filing Date 11/15/2001	Group 2874

U.S. Patent Documents

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
	AA	2002/0001435	01/03/2002	Steinberg		
	AB	6,215,946	04/10/2001	Sherrer		
	AC	6,363,201	03/26/2002	Sherrer et al.		
	AD	6,526,204	02/25/2003	Sherrer et al.		
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	AL					
	AM					
	AN					
	AO					
	AP					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AQ	
	AR	
	AS	

Examiner

Date Considered

*EXAMINER: Initial document considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.